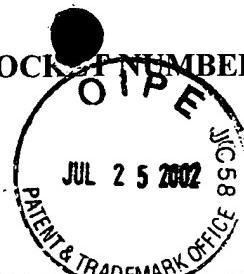


ATTORNEY DOCKET NUMBER:
11321-P002D1



PRIOR SERIAL NO.
09/722,950

PATENTS
[Handwritten signature]

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Richard E. Smalley *et al.*
Prior Serial No.: 09/722,950
Filing Date: November 27, 2000
Prior Art Unit: 1741
Prior Examiner: Not yet assigned

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For: **ROPES OF SINGLE-WALL CARBON NANOTUBES**

Assistant Commissioner for Patents
Washington, DC 20231

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Carolanne M. King
Signature

Carolanne M. King
Printed Name

July 22, 2002
Date

INFORMATION DISCLOSURE STATEMENT
UNDER 37 CFR §§1.56 AND 1.97(c)

Assistant Commissioner for Patents
Washington, DC 20231

Dear Sir:

In compliance with the duty of disclosure under 37 C.F.R. § 1.56, it is respectfully requested that this Information Disclosure Statement be entered and the documents listed on attached Form PTO/SB/8A be considered by the Examiner and made of record. Copies of the listed documents required by 37 C.F.R. § 1.98(a)(2) are enclosed for the convenience of the Examiner.

In accordance with 37 C.F.R. §§ 1.97(g) and (h), this Information Disclosure Statement is not to be construed as a representation that a search has been made, and is not to be construed to

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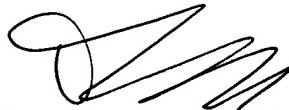
PRIOR SERIAL NO.
09/722,950

be an admission that the information cited is, or is considered to be, material to patentability as defined in 37 C.F.R. § 1.56(b).

The present Information Disclosure Statement is being filed prior to the receipt of a first Official Action reflecting an examination on the merits, and hence is believed to be timely filed in accordance with 37 C.F.R. § 1.97(b). No fees are believed to be due in connection with the filing of this Information Disclosure Statement; however, should any fees be deemed necessary for any reason relating to this submission, the Assistant Commissioner is hereby authorized to deduct said fees from Winstead Sechrest & Minick Deposit Account No. 23-2426/11321-P002D1.

Applicant respectfully requests that the listed documents be made of record in the present case.

Respectfully submitted,
WINSTEAD SECHREST & MINICK P.C.



Robert C. Shaddox
Reg. No.: 34,011
910 Travis St., Suite 2400
Houston, Texas 77002
Phone: 713-650-2764
FAX: 713-650-2400

Dated: July 22, 2002

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July 22, 2002

Direct Dial: (713) 650-2764
rshaddox@winstead.com

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Carolanne M. King

Assistant Commissioner for Patents
Washington, DC 20231

RE: *U.S. PATENT APPLICATION SERIAL NO. 09/722,950; ENTITLED: "ROPES OF SINGLE-WALL CARBON NANOTUBES"; INVENTORS: RICHARD E. SMALLEY ET AL; RICE TECH ID: 10110; WSM REF. NO. 11321-P002D1*

Sir:

Enclosed please find the following documents for filing in the above referenced patent application:

- (1) An Information Disclosure Statement;
- (2) Form PTO/SB/08A;
- (3) Copies of references listed on Form PTO/SB/08A; and
- (4) A return postcard to acknowledge receipt of these materials. Please date stamp and mail this postcard.

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Assistant Commissioner for Patents
July 22, 2002
Page 2

Please forward any reply to this communication directly to our Houston office for docketing purposes. The mailing address is 910 Travis Street, Suite 2400 Houston, Texas 77002, and the Houston fax number is (713) 650-2400.

Respectfully submitted,



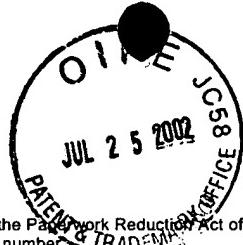
Robert C. Shaddox
Reg. No. 34,011

RCS:cmk

Encl.: Information Disclosure Statement
Form PTO/SB/08
Copies of References
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cc: Daryl S. Boudreaux, Ph.D. (w/encl.)
Carolanne M. King (w/o encl.)

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11321-P002D1 07/22/2002



PTO/SB/08A (10-01)

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**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

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Sheet

1

of

4

Complete if Known

Application Number	09/722,950
Filing Date	November 27, 2000
First Named Inventor	Richard E. Smalley
Art Unit	1741
Examiner Name	Not yet assigned

Attorney Docket Number 11321-P002D1

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U.S. PATENT DOCUMENTS

Examiner Initials	Cite No. ¹	Document Number Number - Kind Code ² (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		US- 5,698,175	12-16-1997	Hiura et al.	
		US- 5,591,312	01-07-1997	Smalley	
		US- 5,589,152	12-31-1996	Tennent et al.	
		US- 5,578,543	11-26-1996	Tennent et al.	
		US- 5,500,200	03-19-1996	Mandeville et al.	
		US- 5,457,343	10-10-1995	Ajayan et al.	
		US- 5,424,054	06-13-1995	Bethune et al.	
		US- 5,346,683	09-13-1994	Green et al.	
		US- 5,338,571	08-16-1994	Mirkin et al.	
		US- 5,336,360	08-09-1994	Nordine	
		US- 5,300,203	04-05-1994	Smalley	
		US- 5,300,023	04-05-1994	Lowery et al.	
		US- 5,227,038	07-13-1993	Smalley et al.	
		US- 5,171,560	12-15-1992	Tennent	
		US- 5,165,909	11-24-1992	Tennent et al.	
		US- 4,663,230	05-05-1987	Tennent	
		US-			

FOREIGN PATENT DOCUMENTS

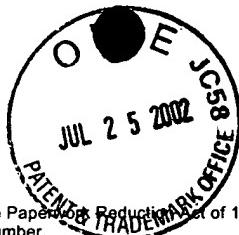
Examiner Initials	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³ -Number ⁴ - Kind Code ⁵ (if known)				
		EP 0591595 A1	10-08-1992	Europe		
		WO 98/05920	02-12-1998	PCT		
		WO 97/09272	03-13-1997	PCT		
		WO 96/38705	12-05-1996	PCT		
		WO 96/18059	06-13-1996	PCT		
		WO 98/07163	08-10-1989	PCT		

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Sheet 2 of 4

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Application Number	09/722,950
Filing Date	November 27, 2000
First Named Inventor	Richard E. Smalley
Group Art Unit	1741
Examiner Name	Not yet assigned

Attorney Docket Number 11321-P002D1

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Examiner Initials ¹	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ²
		Ajayan et al., "Growth morphologies during cobalt catalyzed single-shell carbon nanotube synthesis," Chem. Phys. Lett., 215:509-517, 1993.	
		Bali, "The perfect nanotube," Nature, 382:207-208, 1996.	
		Bethune et al., "Cobalt catalyzed growth of carbon nanotubes with single atomic layer walls," Nature, 363:605-607, 1993.	
		Chai et al., "Fullerenes with metal inside," J. Phys. Chem., 95(20):7564-7568, 1991.	
		Dai et al., "Single-wall nanotubes produced by metal-catalyzed disproportionation of carbon monoxide," Chem. Phys. Lett. 260:471-475, 1996.	
		Dai et al., "Nanotubes as nanotubes in scanning probe microscopy", Nature, 384:147-150, 1996.	
		Dresselhaus et al., Science of Fullerness and Carbon Nanotubes, Academic Press, San Diego, California, Chapter 19, pp. 756-760, 1996.	
		Ebbesen et al., "Carbon nanotubes," Annual Review of Materials Science, 24:235-264, 1994.	
		Ebbesen et al., "Large-scale synthesis of carbon nanotubes," Nature, 358:220-222, 1992.	
		Ge et al., "Scanning tunneling microscopy of single-shell nanotubes of carbon," Applied Physics Letters, 65(18):2284-2286, 1994.	
		Guo et al., "Catalytic growth of single-walled nanotubes by laser vaporization," Chemical Physics Letters, 243(1-2):49-54, 1995.	

Examiner Signature	Date Considered
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Sheet 3 of 4

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Application Number	09/722,950
Filing Date	November 27, 2000
First Named Inventor	Richard E. Smalley
Group Art Unit	1741
Examiner Name	Not yet assigned
Attorney Docket Number	11321-P002D1

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		Guo et al., "Production of single-walled carbon nanotubes via laser vaporization technique," Proc. Symp. Recent Adv. Chem. Phys. Fullerenes & Rel. Mater., Proc. Fullerenes-Chem.-Phys. New Directions VII, Reno, NV, May 16-21, Electrochem. Soc.	
		Guo et al., "Self-assembly of tubular fullerenes," J. Phys. Chem., 99:10694-10697, 1995.	
		Haufler et al., "Carbon arc generation of C ₆₀ ," Mat. Res. Soc. Symp. Proc., 206:627-637, 1991.	
		Hiura et al., "Opening and purification of carbon nanotubes in high yields," Advanced Materials, 7(3): 275-276, 1995.	
		Hwang et al., "Well-aligned carbon nanotubes", Advanced Materials, 5(9):643-646, 1993.	
		Iijima et al., "Helical microtubules of graphitic carbon," Nature, 354:56-58, 1991.	
		Iijima et al., "Single-Shell Carbon Nanotubes of 1-nm Diameter," Nature, 363(6430):603-605, 1993.	
		Journet et al., "Large scaled production of single-wall carbon nanotube tubes by electric arc technique," Nature, 388:756-758, 1997.	
		Lambert et al., "Improving conditions toward isolating single-shell carbon nanotubes," Chem. Phys. Lett., 226:364-371, 1994.	
		Saito et al., "Carbon nanocapsules engaging metals and carbides," J. Phys. Chem. Solids, 54:1849-1860, 1993.	
		Saito et al., "Extrusion of single-wall carbon nanotubes via formation of small particles condensed near an evaporation source," Chem. Phys. Lett., 236:419-426, 1995.	

Examiner Signature	Date Considered
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INFORMATION DISCLOSURE STATEMENT BY APPLICANT				Application Number	09/722,950
				Filing Date	November 27, 2000
				First Named Inventor	Richard E. Smalley
				Group Art Unit	1741
				Examiner Name	Not yet assigned
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